

FORM PTO-1390 (Modified)
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

99035

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/485750

INTERNATIONAL APPLICATION NO.
PCT/DE98/01180INTERNATIONAL FILING DATE
24 April 1998PRIORITY DATE CLAIMED
12 August 1997

TITLE OF INVENTION

Security Element for Documents, Devices for Controlling Documents Comprising such Security Elements,
and Method of Using said Elements and Devices

APPLICANT(S) FOR DO/EO/US

Puttkammer

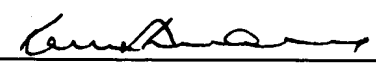
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 13 to 20 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☒ Certificate of Mailing by Express Mail
20. ☒ Other items or information:

- a.) an English Translation of the Specification and Claims Amended under Rule 66 PCT;
- b.) a Post Card Receipt

U.S. APPLICATION NO. (IF KNOWN, SEE 09/4857)		INTERNATIONAL APPLICATION NO. PCT/DE98/01180		ATTORNEY'S DOCKET NUMBER 990351	
21. The following fees are submitted:.				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :					
<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO				\$970.00	
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO				\$840.00	
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO				\$690.00	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)				\$670.00	
<input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)				\$96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				#	\$840.00
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				#	\$0.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	18 - 20 =	0	x \$18.00	#	\$0.00
Independent claims	# 3 - 3 =	0	x \$78.00	#	\$0.00
Multiple Dependent Claims (check if applicable).			<input type="checkbox"/>	#	\$0.00
TOTAL OF ABOVE CALCULATIONS =				#	\$840.00
Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).			<input checked="" type="checkbox"/>	#	\$420.00
SUBTOTAL =				#	\$420.00
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).			+	#	\$0.00
TOTAL NATIONAL FEE =				#	\$420.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).			<input checked="" type="checkbox"/>	#	\$40.00
TOTAL FEES ENCLOSED =				#	\$460.00
				Amount to be: refunded	\$
				charged	\$
<input checked="" type="checkbox"/> A check in the amount of \$460.00 to cover the above fees is enclosed.					
<input type="checkbox"/> Please charge my Deposit Account No. 513R# in the amount of # to cover the above fees. A duplicate copy of this sheet is enclosed.					
<input type="checkbox"/> The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. # A duplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
Law Offices of Karl Hormann 86 Sparks Street Cambridge, MA 02138-2216					
			SIGNATURE		
			#Karl Hormann		
			NAME		
			#26,470		
			REGISTRATION NUMBER		
			#14 February 2000		
			DATE		

00435750 021400

09/485750
PCT/PTO 14 FEB 2000

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Puttkammer

Docket No.

990350

Serial No.

Filing Date
14 February 2000

Examiner

Group Art Unit

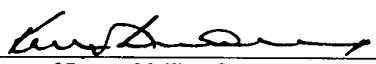
Invention: Security Element Structure for Documents, Devices for Controlling Documents Comprising such Security Elements, and Method of Using said Security Elements and Devices

I hereby certify that this Application to Commence the U.S. National Phase of PCT/DE98/01180
(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under
37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on
14 February 2000
(Date)

Karl Hormann

(Typed or Printed Name of Person Mailing Correspondence)


(Signature of Person Mailing Correspondence)

EJ 612064866US

("Express Mail" Mailing Label Number)

Note: Each paper must have its own certificate of mailing.